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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/809,663	03/15/2001	Mukesh V. Khare	FIS920000396US1 / 130-000	5741
32074	7590	08/08/2002		
INTERNATIONAL BUSINESS MACHINES CORPORATION			EXAMINER	
DEPT. 18G			TOLEDO, FERNANDO L	
BLDG. 300-482				
2070 ROUTE 52			ART UNIT	PAPER NUMBER
HOPEWELL JUNCTION, NY 12533			2823	
DATE MAILED: 08/08/2002				

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No.	Applicant(s)
	09/809,663	KHARE ET AL.
	Examiner Fernando Toledo	Art Unit 2823

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

1) Responsive to communication(s) filed on 28 May 2002.

2a) This action is FINAL. 2b) This action is non-final.

3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

4) Claim(s) 1-3 and 6-8 is/are pending in the application.

4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.

5) Claim(s) \_\_\_\_\_ is/are allowed.

6) Claim(s) 1-3 and 6-8 is/are rejected.

7) Claim(s) \_\_\_\_\_ is/are objected to.

8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

9) The specification is objected to by the Examiner.

10) The drawing(s) filed on 15 March 2001 is/are: a) accepted or b) objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

11) The proposed drawing correction filed on \_\_\_\_\_ is: a) approved b) disapproved by the Examiner.

If approved, corrected drawings are required in reply to this Office action.

12) The oath or declaration is objected to by the Examiner.

#### Priority under 35 U.S.C. §§ 119 and 120

13) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) All b) Some \* c) None of:

- Certified copies of the priority documents have been received.
- Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
- Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

14) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).

a) The translation of the foreign language provisional application has been received.

15) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

#### Attachment(s)

1) Notice of References Cited (PTO-892)

2) Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_.

4) Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_.

5) Notice of Informal Patent Application (PTO-152)

6) Other: \_\_\_\_\_.

## DETAILED ACTION

### *Claim Objections*

1. Claim 3 is objected to under 37 CFR 1.75(c), as being of improper dependent form for failing to further limit the subject matter of a previous claim. Applicant is required to cancel the claim(s), or amend the claim(s) to place the claim(s) in proper dependent form, or rewrite the claim(s) in independent form. Claim 3 discloses wherein the final thickness is less than 20 Å. However, claim 1, discloses wherein the final thickness is less than 15 Å, which, is less than 20 Å.

### *Claim Rejections - 35 USC § 102*

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claim 1 is rejected under 35 U.S.C. 102(b) as being anticipated by Kraft et al. (U.S. patent 6,136,654).

In re claim 1, Kraft in the U. S. patent 6,136,654; figures 1 – 8 and related text discloses forming an initial oxynitride layer 14 upon a substrate material, the oxynitride layer having an initial physical thickness (column 3, lines 52 – 56); subjecting the initial oxynitride layer to plasma nitridation, the plasma nitridation resulting in final oxynitride layer, the final oxynitride layer having a final physical thickness (column 3, lines 59 – 67 and column 4, lines 1 – 11); wherein the final oxynitride layer has a nitrogen concentration of 0.1 to 57 atomic % (column 5, lines 24 – 28); wherein the final

oxynitride layer has an equivalent oxide thickness of less than 15 Å and a nitrogen concentration of at least  $2.0 \times 10^{15}$  atoms/cm<sup>2</sup> (figure 7).

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 2 – 3 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kraft as applied to claims 1 and 5 above.

In re claim 2, Kraft does not show wherein the final physical thickness exceeds the initial thickness by less than 5 Å.

However, it would have been obvious to one having ordinary skill in the art at the time the invention was made to have the final physical thickness exceeds the initial thickness by less than 5 Å in the invention of Kraft, since insulation thicknesses are well-known process variables and finding the optimum or workable ranges of those thicknesses requires only ordinary skill in the art. Note that the specification contains no disclosure of either the critical nature of the claimed thicknesses or any unexpected results arising therefrom. Where patentability is said to be based upon particular chosen thicknesses or upon another variable recited in a claim, the Applicant must show that the chosen thicknesses are critical. *In re Woodruf*, 919 F.2d 1575, 1578, 16 USPQ2d 1934, 1936 (Fed. Cir. 1990).

In re claim 3, Kraft does not disclose wherein the final physical thickness is less than 20 Å.

However, it would have been obvious to one having ordinary skill in the art at the time the invention was made to have the final physical thickness less than 20 Å in the invention of Kraft, since insulation thicknesses are well-known process variables and finding the optimum or workable ranges of those thicknesses requires only ordinary skill in the art. Note that the specification contains no disclosure of either the critical nature of the claimed thicknesses or any unexpected results arising therefrom. Where patentability is said to be based upon particular chosen thicknesses or upon another variable recited in a claim, the Applicant must show that the chosen thicknesses are critical. *In re Woodruf*, 919 F.2d 1575, 1578, 16 USPQ2d 1934, 1936 (Fed. Cir. 1990).

4. Claims 6 and 8 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kraft as applied to claims 1 and 5 above, and further in view of Ito et al. (U. S. patent 4,980,307).

In re claim 6, Kraft does not teach wherein the initial oxynitride layer is formed upon the substrate by ionically implanting nitrogen atoms into the substrate and oxidizing the substrate, following the substrate being ionically implanted with nitrogen atoms.

However, Ito in the U. S. patent 4,980,307 discloses forming an oxynitride layer wherein the substrate is nitrated (by plasma) followed by an oxidation treatment, which allows for an increased thickness of the initial oxynitride layer (columns 6 and 7).

Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to form the initial oxynitride of Kraft by the method of Ito since it allows for an increased thickness of the initial oxynitride layer.

In re claim 8, Kraft in view of Ito does not show wherein the final oxynitride layer further has a reduction effective electron mobility,  $\mu_{\text{eff}}$ , of less than 20% from the effective electron mobility of the initial oxynitride layer.

However, since Kraft in view of Ito disclose the invention it would have been obvious to one having ordinary skill in the art at the time the invention was made to achieve the same reduction in effective electron mobility since the effective electron mobility is a direct result of the formation of the final oxynitride layer.

5. Claim 7 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kraft as applied to claims 1 and 5 above, and further in view of Gusev et al. ("Growth and characterization of ultrathin nitrided silicon oxide films" pp 1 – 22).

Kraft does not disclose wherein the initial oxynitride layer is formed upon the substrate by rapid thermal nitric oxide deposition.

However, Gusev in the article "Growth and Characterization of Ultrathin Nitrided Silicon Oxide Films, pp 1 – 22 discloses that by forming the oxynitride film with a rapid thermal nitric oxide deposition, the nitrogen is more effectively incorporated in the dielectric film than by using  $N_2$  or  $N_2O$  (pages 8 and 9).

Therefore It would have been obvious to one having ordinary skill in the art at the time the invention was made to form the initial oxynitride film of Kraft by the method of

Gusev, because the nitrogen is more effectively incorporated in the dielectric film than by using N<sub>2</sub> or N<sub>2</sub>O.

***Response to Arguments***

6. Applicant's arguments filed 28 May 2002 have been fully considered but they are not persuasive for the foregoing reasons.
7. Applicant contests Kraft et al. teaches away from using an oxynitride layer as the initial layer. Applicant concedes that Kraft discloses the following: "the oxygen-containing layer is preferably either an oxide layer, an oxynitride layer or other insulating layer and more preferably an oxide layer (col. 3, lines 53 – 56)." Applicant furthermore adds, that Kraft teaches that an oxide layer is more preferable than an oxynitride layer as the initial layer, and therefore teaches away from using an oxynitride layer as the initial layer.

Examiner respectfully submits that teaching another way does not necessarily mean teaching away. The reference merely *teaches a preferred, a better or an alternative way* to a claimed way of accomplishing something. "A reference must be considered for all it teaches." *Ashland Oil, Inc. v. Delta Resins & Refractories, Inc.*, 776 F.2d 281, 296, 227 USPQ 657, 666 (Fed. Cir. 1985). "Preferred embodiments and disclosed examples do not constitute a teaching away from a broader disclosure or nonpreferred embodiments." *Merck & Co. v. Biocraft Labs.*, 874 F.2d 649, 650, 176 USPQ 196, 198 (CCPA 1972). "Similarly, a statement that a first product is somewhat inferior to another product for the same use does not teach away when a reference also

discloses that the first offers acceptable advantages." *In re Gurley*, 27 F.3d 551, 553, 31 USPQ 2d 1130, 1131 (Fed. Cir. 1994).

8. Applicant also contest that Kraft does not teach wherein the concentration of nitrogen is at least  $2.0 \times 10^{15}$  atoms/cm<sup>2</sup> and an EOT of less than 15 Å.

Examiner respectfully submits that Kraft teaches those limitations in figure 7 of the reference.

### ***Conclusion***

9. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Fernando Toledo whose telephone number is 703-305-0567. The examiner can normally be reached on Mon-Fri 8am to 4pm.

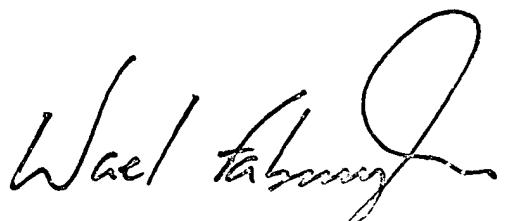
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Wael Fahmy can be reached on 703-308-4918. The fax phone numbers for

the organization where this application or proceeding is assigned are 703-308-7382 for regular communications and 703-308-7382 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-308-0956.

Fernando Toledo  
Examiner  
Art Unit 2823

ft  
August 6, 2002



*Wael Toledo*

SUPERVISORY PRIMARY EXAMINER  
TECHNOLOGY CENTER 2000